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JC525 U.S. PTO
09/27/820
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March 26, 1999

WRITER'S DIRECT NUMBER:
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Assistant Commissioner for Patents
Washington, D.C. 20231

Box Patent Application

Re: U.S. Non-Provisional Patent Application under 37 C.F.R. § 1.53(b)
Appl. No. To be assigned; Filed: Herewith
For: **Compositions and Methods for Non-targeted Activation of
Endogenous Genes**
Inventors: HARRINGTON *et al.*
Our Ref: 1522.0030004/MAC/BJD

Sir:

The following documents are forwarded herewith for appropriate action by the U.S.
Patent and Trademark Office:

1. PTO Utility Patent Application Transmittal Form (PTO/SB/05);
2. Authorization to Treat a Reply As Incorporating An Extension of Time Under 37 C.F.R. § 1.136(a)(3) (in duplicate);
3. Statement Under 37 C.F.R. § 1.821(f);
4. A paper copy of the sequence listing;
5. A computer readable disk copy of the sequence listing.

Assistant Commissioner for Patents
March 26, 1999
Page 2

6. U.S. Utility Patent Application entitled:

Compositions and Methods for Non-targeted Activation of Endogenous Genes

and naming as inventors:

John J. HARRINGTON
Bruce SHERF
Stephen RUNDLETT

the application consisting of:

- a. A specification containing:
- i. 154 pages of description prior to the claims;
 - ii. 11 pages of claims (57 claims);
 - iii. a one (1) page abstract;
- b. 62 sheets of drawings: (Figures 1-37).

7. Two (2) return postcards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

This patent application is being submitted under 37 C.F.R. § 1.53(b) without Declaration and without filing fee.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Brian J. Del Buono
Agent for Applicants
Registration No. 42,473

RECEIVED
MAR 27 1999

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

HARRINGTON *et al.*

Appl. No. To be assigned

Filed: Herewith

For: **Compositions and Methods for
Non-targeted Activation of
Endogenous Genes**

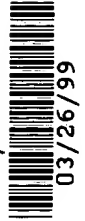
Art Unit: To be assigned

Examiner: To be assigned

Atty. Docket: 1522.0030004\MAC\BJD

JC525 U.S. PTO

09/27/99



**Authorization To Treat A Reply As Incorporating An Extension Of Time
Under 37 C.F.R. § 1.136(a)(3)**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The U.S. Patent and Trademark Office is hereby authorized to treat any concurrent or future reply that requires a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. The U.S. Patent and Trademark Office is hereby authorized to charge all required extension of time fees to our Deposit Account No. 19-0036, if such fees are not otherwise provided for in such reply. A duplicate copy of this authorization is enclosed.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Brian J. Del Buono
Agent for Applicants
Registration No. 42,473

Date: March 26, 1999
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PTO/SB/05 (2/98)

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Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No.	1522.0030004 MAC/BJD
First Inventor or Applicant Identifier	Harrington
Title	Compositions and Methods for Non-targeted Activation of Endogenous Genes
Express Mail Label No.	

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☐ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)

2. ☒ Specification [Total Pages 166]

(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

6. ☐ Microfiche Computer Program (Appendix)

7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)

a. ☒ Computer Readable Copy

b. ☒ Paper Copy (identical to computer copy)

c. ☒ Statement verifying identity of above copies

3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 62]

4. ☐ Oath or Declaration [Total Pages _____]

a. ☐ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed)
[Note Box 5 below]

i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR §§ 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4b is checked)

The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))

9. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)

10. ☐ English Translation Document (if applicable)

11. ☐ Information Disclosure Statement (IDS/PTO-1449) ☐ Copies of IDS Citations

12. ☐ Preliminary Amendment

13. ☒ Two Return Receipt Postcards (MPEP 503)
(Should be specifically itemized)

14. ☐ *Small Entity Statement(s) ☒ Statement filed in prior application, Status still proper and desired
(PTO/SB/09-12)

15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)

16. ☒ Other: 37 C.F.R. § 1.136(a)(3) Authorization

☐ Other:

*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation

☐ Divisional

☒ Continuation-in-Part (CIP) of prior application No: (To be assigned; CIP of U.S. Appl. No. 09/159,643, filed February 19, 1999)

Prior application information: Examiner (To be assigned)

Group/Art Unit: 1636

18. CORRESPONDENCE ADDRESS

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or Bar Code Label

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NAME (Print/Type)	Brian J. Del Buono	Registration No. (Attorney/Agent)	42,473
SIGNATURE		Date	March 26, 1999

Burden Hour Statement: this form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.